



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/942,417	08/30/2001	Robert R. Gensler JR.	POU920010074US1	7365

7590 09/27/2004

LAWRENCE D. CUTTER  
IBM Corporation  
Intellectual Property Law Dept.  
2455 South Rd., M/S P386  
Poughkeepsie, NY 12601

EXAMINER

SHERKAT, AREZOO

ART UNIT	PAPER NUMBER
----------	--------------

2131

DATE MAILED: 09/27/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/942,417

Applicant(s)

GENSLER ET AL.

Examiner

Arezoo Sherkat

Art Unit

2131

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 30 August 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-8 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-8 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 31 August 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 4.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

### DETAILED ACTION

Claims 1-8 are presented for examination.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-8 are rejected under 35 U.S.C. 102(b) as being anticipated by Hu, (U.S. Patent No. 5,586,260 and Hu hereinafter).

Regarding claim 1, Hu discloses a method for providing security services in a clustered data processing environment, said method comprising the steps of:

providing an access program layer on at least two data processing nodes of said clustered environment, said layer presenting a consistent security interface to applications which run on said nodes (i.e., the authentication gateway system 14, conforms to both the server and the client security domains), and providing at least one security program module which implements a security service within said cluster (i.e., the gateway system)(Col. 3, lines 57-67 and Col. 4, lines 1-67 and Col. 5, lines 1-5);  
and

providing at least one adapter module for each security program module, wherein said at least one adapter module maps parameters of said security service to said

security interface (i.e., the RPC call provides for mutual authentication of the client and the authentication gateway, in accordance with the client security domain, and the authentication server obtains and saves the server credentials for the client, the client's server-based security context)(Col. 5, lines 5-67 and Col. 6, lines 1-67 and Col. 7, lines 1-37).

Regarding claim 2, Hu discloses a method in which there are a plurality of more than two of said data processing nodes (i.e., client system, gateway system, and server system)(Col. 3, lines 57-67 and Col. 4, lines 1-5)

Regarding claim 3, Hu discloses a method in which there are a plurality of security program modules (i.e., the gateway allows a client user to log in to the server security domain and set up the appropriate credentials so that a proxy server can later act on this user's behalf)(Col. 5, lines 4-58).

Regarding claim 4, Hu discloses a method in which there are a plurality of said adapter modules (i.e., basically the gateway is a collection of runtime libraries and processes, remote procedure calling (RPC) mechanism)(Col. 5, lines 4-58).

Regarding claim 5, Hu discloses a method in which said access program layer includes authentication and authorization services through said security interface (Col. 5, lines 59-67 and Col. 6, lines 1-65).

Regarding claim 6, Hu discloses a method in which said access program layer includes access control services through said security interface (i.e., the RPC call provides for mutual authentication of the client and the authentication gateway, in accordance with the client security domain, and the authentication server obtains and saves the server credentials for the client, the client's server-based security context)(Col. 5, lines 5-67 and Col. 6, lines 1-67 and Col. 7, lines 1-37).

Regarding claim 7, Hu discloses a method in which said access control list includes entries grouped by at least one characteristic selected from the group consisting of type, mechanism, identity and permission bit mask (Col. 4, lines 59-67 and Col. 5, lines 1-4).

Regarding claim 8, Hu discloses a method in which said access program layer loads security program modules identified through said security interface (i.e., the gateway is a collection of runtime libraries and processes)(Col. 5, lines 4-58).

### ***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Shambroom, (U.S. Patent No. 5,923,756),

Shambroom, (U.S. Patent No. 6,198,824),

Carlson et al., (U.S. Patent No. 5,506,961),

Wobber et al., (U.S. Patent No. 5,235,642), and

Baskey et al., (U.S. Publication No. 2002/0129274).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Arezoo Sherkat whose telephone number is (703) 305-8749/(703) 272-3796. The examiner can normally be reached on 8:00-4:30 Monday-Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on (703) 305-9648/(703) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



Arezoo Sherkat  
Patent Examiner  
Group 2131  
Sep. 21, 2004



AYAZ SHEIKH  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100